FISCAL YEAR 2011
FACILITIES INFORMATION MANAGEMENT SYSTEM (FIMS)
DATA VALIDATION GUIDANCE

This document provides an acceptable, but not mandatory, means for complying with the FIMS verification requirements of DOE Order 430.1B, *Real Property Asset Management*. Alternate methods that satisfy the requirements of the Order are also acceptable. However, alternate implementation methods if selected must be justified and should be discussed with the Office of Engineering and Construction Management prior to implementation to ensure the Department can meet its reporting commitments.

In the future, in order to clearly distinguish between requirements and non-mandatory guidance, the minimum elements necessary to validate FIMS data will be included within DOE Order 430.1B, with all other aspects of guidance captured elsewhere and clearly marked as optional.

1. Background:

a. The Facilities Information Management System (FIMS): FIMS is the Department's official repository of real property data.

i. FIMS data is used in day-to-day decision-making and to measure the cumulative outcomes of real property decisions on the portfolio condition and utilization; this data supports the key performance indices included in the Department's Asset Management Plan.

ii. The quality of the decisions made from the FIMS is a function of the accuracy of the underlying data.

b. Department of Energy Order 430.1B (RPAM): RPAM requires FIMS data be accurately populated and annually validated.

2. Purpose of the Guidance:

a. Outcomes: Identify the roles, responsibilities and expected outcomes of the FIMS validation process.

Standardize the minimum validation criteria.

3. Desired Outcome of the Validation Program:

a. Confidence Level: Demonstrate at a 90% confidence level that the validated FIMS data elements are being maintained without material variance when compared to known accurate source data.

b. Appendix B: Provides information on source data and criteria for acceptable source data.

4. **References and Supporting Information:**

   a. **FIMS Website**: http://fimsinfo.doe.gov

   b. **DOE Order 430.1B Real Property Asset Management (RPAM)**

   c. **DOE Order 430.2B, Departmental Energy, Renewable Energy and Transportation Management**

5. **Applicability:**

   a. **Validation Frequency:** Per DOE Order 430.1B, each site's FIMS data must be validated once each fiscal year. This guidance is applicable to all real property owning Programs.

      i. This guidance identifies minimum Departmental outcomes. Programs may elect to add additional reporting requirements or validate other data fields in addition to those identified in this guidance.

      ii. Programs may elect to implement their validation programs through a centrally managed team or "*center of excellence*" in lieu of site delegation.

6. **Requirement:**

   a. **Validation Dates:** Recommend validations be conducted between December 15th and June 30th. The Headquarters Program Office is responsible to ensure each of their sites conducts a FIMS data validation each year.

   b. **Lead Program Secretarial Office (LPSO):** LPSO At multi-program sites, the is responsible for the accuracy of FIMS data at the site. The LPSO is responsible for planning, scheduling, coordinating and conducting the FIMS data validation for the entire site.

   c. **Red Scores:** In the event that a "Red" score is established due to the data by a program other than the LSPSO, that program will be responsible for preparing and implementing a Corrective Action Plan (CAP) and forwarding their plan to their Program Office. The Program Office should then forward the CAP to OECM with a cc to the LPSO. Additionally, the corrected FIMS data will be sent to the LPSO FIMS Administrator to be entered into FIMS. If the "Red" score is due to data from both programs then the LPSO is responsible for submitting the joint CAP to their Program Office to be forwarded to OECM. The other Program (s) provides their CAP input to the LPSO for joint submission. Other Program (s) provides their corrected FIMS data to the LPSO FIMS coordinator to be entered into FIMS.

i. For example, at Idaho National Laboratory, a multi-program site, only one FIMS data validation needs to be conducted by the Office of Nuclear Energy (NE) as the LPSO. The validation includes a sample of both the NE and the Office of Environmental Management (EM) buildings, trailers, and other structures and facilities (OSF's). In the event of a "Red" score due only to EM's data, EM would be required to develop and implement the CAP and provide the corrected FIMS data to NE's FIMS Administrator to be entered into FIMS. If the "Red" score is due to data from both programs NE would develop and implement the Joint CAP with input from EM. EM would provide corrected FIMS data to the NE FIMS Administrator for upload into FIMS.

7. <u>Roles and Responsibilities</u>:

a. Headquarters, Office of Engineering and Construction Management (OECM):

i. Develop minimum departmental criteria for validation.

ii. Establish validation process and associated training class.

iii. Make standard forms, supporting information and materials readily available.

iv. Provide overall management of the FIMS system.

v. Perform assist visits as requested by the Program/site to verify consistency in the application of the validation program (performed with the programs). See Appendix A for FY 2011 OECM Assist Visits.

vi. Oversee implementation of the overall program and measure success.

b. Programs:

i. Disseminate minimum departmental criteria and additional programmatic criteria for validation.

ii. Provide validation schedule to OECM by December 1st each fiscal year.

iii. Maintain validation capability to support Site Office and Management and Operations (M&O) contractor based validation.

iv. Verify Site Office compliance with validation guidance and provide copies of the scorecards to OECM as the validations are completed.

v. Work with the sites that received red scores in Status and oversee execution of the Corrective Action Plan.

vi. Provide OECM a copy of the site's Corrective Action Plan. Provide OECM quarterly updates until corrective actions are complete.

c. Site Office:

i. Verify M&O contractor is maintaining accurate FIMS records.

1. If no M&O contractor is on site, it is the responsibility of the site to maintain accurate FIMS records and perform all other functions that the M&O contractor would accomplish with respect to FIMS and FIMS data validations.

ii. Perform quality control of validation efforts and if necessary, establish and track progress on the Corrective Action Plan.

iii. Report validation results to the Headquarters Program Office when validation is complete. Provide scorecard and supporting validation backup forms for sampled assets. Results should be reported within five business days to the Headquarters Program Office.

iv. Coordinate with the M&O contractor to schedule the annual validation and notify the Headquarters Program Office by November 22, 2010 of the scheduled date(s).

v. Schedule and notify the Headquarters Program Office (within 60 days) of any required revalidation (within six months) as a result of a red score.

vi. Maintain validation scorecards and results for five fiscal years.

d. M&O Contractor:

i. Consistent with the implemented Contractor Requirements Document contained in DOE Order 430.1B Real Property Asset Management:

1. Maintain FIMS real property inventory system complete and current throughout the life cycle of the real property assets.

2. Staff and conduct FIMS validations.

3. Prepare the Corrective Action Plan (if required) within 30 days of any red score. Forward to the Site Office, the Headquarters Program Office and OECM.

a. Provide recommended schedule/dates to the Site Office, within 45 days, for the required revalidation as a result of a red score.

b. Execute Corrective Action Plan to correct deficiencies in data and processes and conduct a follow-up revalidation within 6 months on the sites real property assets.

4. Facilitate quality control.

5. Provide assistance with site visit activities, including on site walk-throughs during the FIMS data validation.

8. Validation Program Elements:

a. Support Materials and Resources: See the FIMS validation library at http://fimsinfo.doe.gov/data_validation.htm for the most recent process support materials including training materials, validation forms, templates, random sample generators and scorecard tools.

b. Frequency and Timing: As indicated in figure 1, validations are required annually (Semi-annually for sites with a red status).

i. Validations shall be completed by June 30th of each year.

1. Sites should schedule validations to allow ample time to correct data issues prior to the update of their Ten Year Site Plans and population of the Federal Real Property Profile (FRPP).

2. If a site is required to conduct a revalidation and it falls in the next fiscal year, the revalidation score shall satisfy the requirement for the revalidation as well as the validation for that fiscal year.

ii. Validations should not be scheduled/conducted during the annual update cycle for FIMS data which runs from August 1st through December 15th each year.

	Acceptable Status (Green Status)	Minimally Acceptable (Yellow Status)	Unacceptable (Red Status)
Site Level. Site provides quality control.	Annual	Annual	Semi-annual
Program/Headquarters Level Quality Assurance	Every Five Years[1]	Every Five Years	Annual[2]

Figure 1 - Minimum Time Periods for Validation Activities

c. Team:

[1] May be coordinated with annual validation activities. HQ would witness the validation.

[2] **Sites judged to be red in status should receive additional attention from Program/Headquarters elements until they have corrected their data and processes in such a way as to satisfy at least a yellow standard.**

i. The validation team will include a designated team leader who has successfully completed the FIMS data validation training.

1. FIMS Data Validation training will be conducted twice a year. Contact OECM or visit the FIMS validation library at: http://fimsinfo.doe.gov/data_validation.htm for schedule and location of training.

ii. The team includes at least one member familiar with the site's FIMS records keeping e.g., FIMS administrator.

iii. To maintain the integrity of the process, the validation team will have at least two full time participants. Other members of the team may be rotated in and out as needed.

d. FIMS Data Elements and Assets to Validate:

i. The FY 2011 FIMS data validation process will consist of validating the following (see list below) FIMS data elements for DOE owned, Contractor leased and DOE leased buildings, trailers and OSF's. The assets to be included in the validation will be determined through a single random data selection using Standard Report #069 Random Asset Generator (FRPC Data Validation) to randomly select a sample set of buildings, trailers and OSF's. The sample set will be scored on a single scorecard. See Appendix B for the requirements for source data documentation.

ii. The data elements to be validated are listed below. The FRPC performance measures are in bold type and are held to a higher standard of reliability by weighting them more in the scoring process.

1. Property Type
2. Usage Code
3. Owned/Ingrant
4. a. Status; 4b. Outgrant Indicator; 4c. Excess Indicator;
5. Historic Designation
6. Using Organization
7. Size
8. **Utilization**
9. **Replacement Plant Value**
10. **Deferred Maintenance**
11. **Mission Dependency**
12. **a. Annual Actual Maintenance; 12b. Operating Cost**
13. Main Location
14. Location City
15. Location State

16. Location County
17. Location Congressional District
18. Location Zip Code
19. Restrictions
20. a. Sustainability - Assessment Status; 20b. Sustainability - Guiding Principle Points-% Achieved EB; 20c. Guiding Principle Points-% Achieved NC
21. a. Cool Roof Not Economically Feasible; 21b. Cool Roof - Planned Complete Cool Roof Date; 21c. Cool Roof – Photovoltaic Area (GSF); 21d. Cool Roof – Reflective Area (GSF); 21e. Cool Roof – Total Roof Projected Area (GSF); 21f. Cool Roof – Vegetative Area (GSF).
22. Estimated Disposition Year
23. Total No of Occupants
24. Bridge Safety Inspection Report (see scoring in paragraph 8.h. below)

e. Source Data:

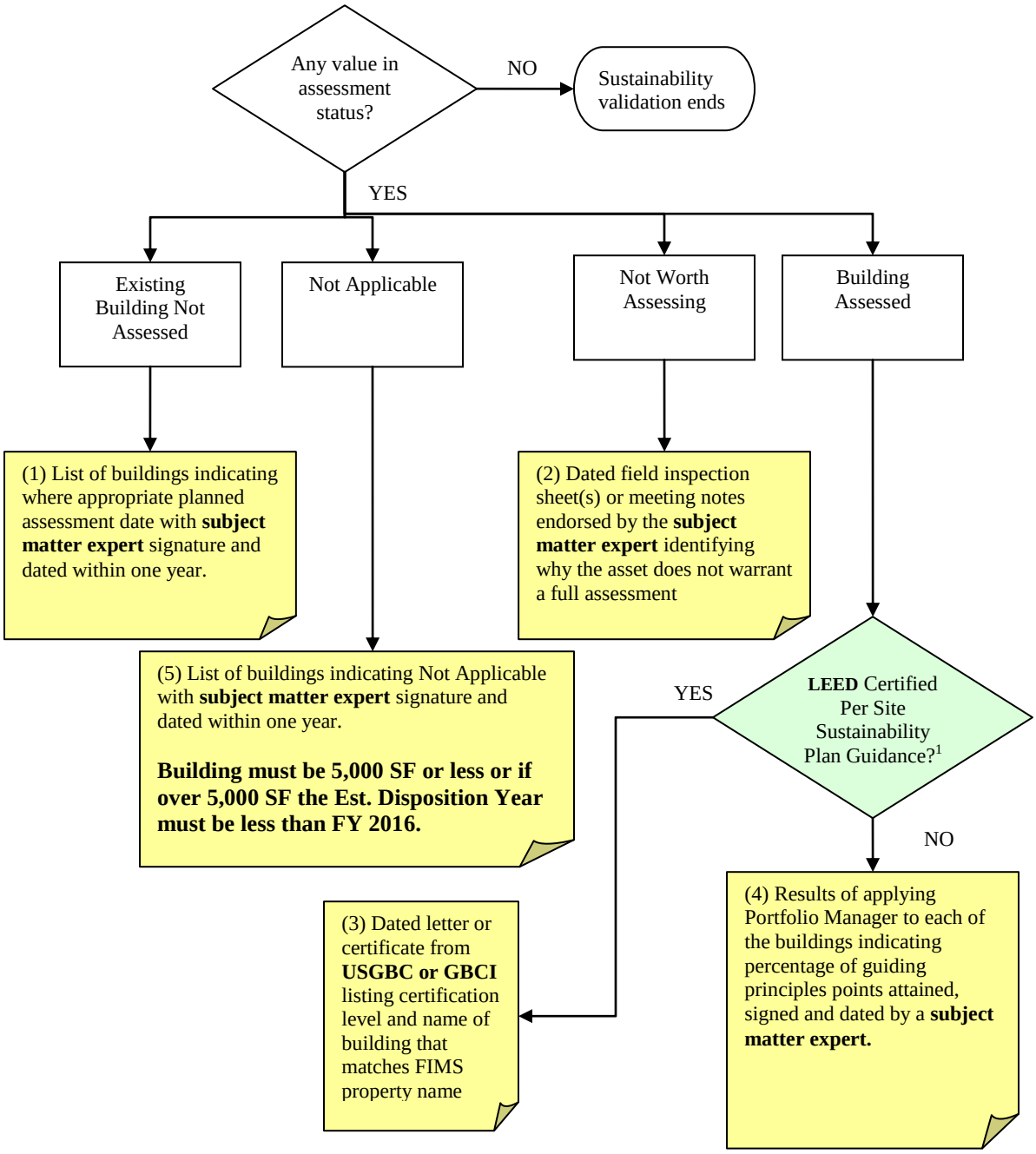
i. In general, source documentation is authoritative data that the FIMS administrator would use to enter or update data in FIMS. Source data must have an owner, be managed, dated, and updated at appropriate intervals.

ii. Source data is expected to be updated annually for the following data elements: Usage Code, Status, Outgrant Indicator, Excess Indicator, Estimated Disposition Year, Using Organization, Utilization, RPV, Deferred Maintenance, Mission Dependency, Annual Operating Costs, Annual Actual Maintenance, Sustainability - Assessment Status, Sustainability - Guiding Principle Points-% Achieved EB, Sustainability - Guiding Principle Points-% Achieved NC, Cool Roof Not Economically Feasible, Cool Roof - Planned Complete Cool Roof Date, Cool Roof – Photovoltaic Area (GSF), Cool Roof – Reflective Area (GSF), Cool Roof – Total Roof Projected Area (GSF), Cool Roof – Vegetative Area (GSF), and Total No of Occupants. Source data for Bridge Safety Inspection is expected to be updated with the same frequency as the required inspection. The remainder of the data elements should be updated as appropriate or when data changes.

iii. Appendix B provides a Source Documentation Work Sheet that should be completed at least one week prior to the scheduled FIMS data validation.

iv. If a FIMS value is 0. The source document must also be 0 (i.e. if FIMS has $0 for Actual Maintenance for an asset, the source data must also indicate $0 for that asset). Lack of a source document for a 0 (zero) or ‘No’ value would cause a material variance for that FIMS record.

Documentation Required to Validate Sustainability Assessment Status



[1]Site Sustainability Plan Guidance – Guiding Principle 100% Equivalency through LEED:
a. New construction buildings that were CD-2 or higher on or before October 1, 2008, and achieved any level of LEED certification by FY 2015.
b. New construction buildings that were CD-1 or lower on or before October 1, 2008, that achieved LEED –NC Gold certification by FY 2015; or,
c. Any existing building that achieved LEED Existing Buildings Operation & Maintenance (EBOM) Silver or greater by FY 2015.

vi. Downloading or printing FIMS data for multiple data elements and having several individuals sign off that the FIMS data is valid, is not acceptable for use as source documentation.

f. Process: Validation is a process for assuring the accuracy of FIMS data by comparing FIMS data taken from a representative sample against its source data.

i. Determine sample size: Use the Sample Size Chart (found on the FIMS website data validation page: http://fimsinfo.doe.gov/data_validation.htm) to identify the number of buildings, trailers and OSF's to include in the random sample set. These numbers are based on providing a 90% confidence level that the sample taken will reflect the entire FIMS data base for the data elements validated.

ii. Selecting a FIMS Random Sample: The random sample selection will be in accordance with the validation training materials (see FIMS Data Validation Training PowerPoint slides at: http://fimsinfo.doe.gov/data_validation.htm).

1. The random sample will not be generated before the kick-off meeting.

2. At multi-program sites, the random sample will be pulled from all assets regardless of program ownership.

3. For Fiscal Year 2011, validation will be performed on non-archived DOE Owned, DOE Leased, and Contractor Leased buildings, trailers and OSF's.

    a. Buildings, trailers and OSF's will be captured in one random sample and reported on one scorecard.

    b. Sample size will be based on the total number of DOE owned, DOE leased and Contractor leased buildings, trailers and OSF's located at the site.

4. Generate random sample: Use Standard Report #069 Random Asset Generator (FRPC Data Validation) to randomly select a sample set of buildings, trailers and OSF's.

iii. Outlier Selections: Standard Report #070a Building Outlier Report (FRPC Data Validation) can be used to identify buildings with high RPV, Deferred Maintenance, or Gross Square Footage. Standard Report #070e OSF Outlier Report (FRPC Data Validation) can be used to identify OSF's. These reports can be used to identify outliers that should be included in the sample set.

iv. FRPC Data element Reports: Standard report #070b FRPC Building/Trailer Data Element Report and standard report #070d – FRPC OSF Data Element Report can be used to extract all FRPC data elements for a particular building,

trailer or OSF respectively. These reports are beneficial for selecting all FRPC data elements for buildings, trailers, or OSF's selected as outliers.

v. Bridge Safety Inspection Report: Standard report #068 Bridge Safety Inspection report should be generated to extract all bridge records for a site. This data will be used to populate the FIMS Data Validation Reporting Form with bridge safety inspection information. Note only controlled and publically accessible train and publicly accessible vehicular bridge safety inspections will be verified.

vi. Compare FIMS data with source data: For each real property asset the value in FIMS from Report #069 is compared to the sites' source data. Use the FIMS Data Validation Reporting Form on the FIMS website at: http://fimsinfo.doe.gov/data_validation.htm.

1. A material variance occurs when a difference of 10% or more for numeric data (deferred maintenance, replacement plant value etc.) and any difference for non-numeric data (usage code, zip code, state etc.) is encountered.

2. Calculate the frequency of material variance for each data element. (e.g., in a sample of 25 records containing 5 material variances, the frequency of material variances would be 5/25=.2 or 20 percent). This is automatically calculated by the FIMS Data Validation Form found on the FIMS website.

vii. Facility visit: To cross check source data and FIMS data against the actual asset a facility visit is required. It is recommended that a walk-through be conducted on approximately 30%, but not less than 10%, of the building, trailer and OSF random sample size (e.g. for a sample size of 25, walk-through or visit five to seven buildings, trailers or OSF's). This is not a detailed facility inspection, but an overview to verify that the actual conditions of the real property asset are consistent with source data and FIMS data. The purpose of the walk-through is:

1. Provide a check on the source data. Errors found in source data are more serious than those found in FIMS data. If source data errors are found, they should be noted on the validation worksheets and the element(s) rescored. Additional walk-through inspections should be considered to determine if the error in source data is widespread or an anomaly for one asset. In general, if errors are found in source data, the element will be considered "red" because the source data is unreliable.

2. Provide an additional check on FIMS data for the validation. If errors are found during the walk-through, they should be noted on the validation worksheets and the data element rescored.

g. Scoring FIMS Validation: Site FIMS data shall be scored based on a red, yellow and green scorecard for "Status" of the overall data (accuracy of the existing database) and the "Progress" towards improvement.

i. Each data element included in the validation shall be scored based on the frequency of material variance as noted in figure 2.[3]

Score	Green	Yellow	Red
Data Element	No more than a 5% frequency of material variance	Greater than 5%, but no more than 10% frequency of material variance	Greater than 10% frequency of material variance

Figure 2 – Scoring of Specific Elements

ii. The overall "Status" score is generated as a result of the compilation of the scoring of specific data elements.

1. The "Status" score is a direct result of the frequency of material variance identified within each of the data elements validated as indicated in figure 3.

[3] Frequency of material variance = the percent of records found within the random sample (including outliers selected for validation) judged to contain a material variance.

FIMS Scorecard Status Score	Performance Measures *	Remainder of Validated Elements	Notes
Green	All performance measures green and…	All other elements at-least yellow	Preferred level of data quality
Yellow	Any one performance measure yellow or…	No more than one of the remaining elements red	Minimal acceptable level of data quality
Red	Any one performance measure red or…	More than one of the remaining elements red	Unacceptable data quality
***FRPC Performance Measures: Replacement Plant Value, Deferred Maintenance, Utilization, Mission Dependency, Annual Operating Costs and Annual Actual Maintenance			

Figure 3 – Scoring of Status

2. Sites scored red in "Status" must develop a Corrective Action Plan and report progress toward implementation of the plan.

    a. The corrective action plan should be forwarded to the site's Headquarters' Program Office and OECM within 30 days of the validation.

iii. A "Progress" rating of green, yellow or red is developed based on the site's efforts to improve FIMS data since its last validation.

1. The "Progress" score is based on the management of the Corrective Action Plan and demonstrated improvement in the data since the last validation.

2. "Progress" scoring is identified in figure 4.

FIMS Scorecard Progress Score	Improvement of Data	Goals of the Corrective Action Plan	Notes
Green	Status is green or significant improvement since last validation.	Goals established and being met or no plan needed.	If Status is green or yellow, no correction plan is required and progress is typically green.
Yellow	Some improvement in data quality since last validation.	Progress is slipping.	
Red	Minimal improvement in data quality since last validation.	Goals for improvement not being met.	

Figure 4 – Scoring of Progress

h. Scoring Bridge Safety Inspection Verification

i. Scoring will be either "Green, "Red" or "N/A". If all required data is verified as correct the Bridge Safety Inspection Verification is scored "Green". If discrepancies are noted the score is "Red". If Site does not have any bridges it is scored as "N/A".

ii. The Bridge Safety Inspection Verification score will be a separate score on the scorecard.

9. Reporting and Record Keeping:

a. Records: Site offices will maintain validation documentation (work sheets, scorecards, random sample, corrective action plans, etc.) for at least five fiscal years.

i. Documentation is necessary to simplify quality assurance, spot trends and identify areas for improvement.

ii. Maintaining documentation for five fiscal years aligns with quality assurance goals and inspection periods identified in DOE Order 430.1B.

b. Scorecards:

i. Sites will provide scorecards and validation schedules to their Headquarters Program Offices consistent with guidance and timeframes noted previously in Section 7 – Roles and Responsibilities.

ii. Programs will forward scorecards to OECM when each site completes its FIMS validation or required revalidation.

Appendix A
OECM Assist Visits

FY 2011 FIMS Data Validation Schedule

Key: OECM Assist Visits | Completed | Not Complete

#	LPSO	PRGM	OECM QA Visit	OECM Rep	EES Rep	Site	Field Office	Assets	Date Scheduled	Date Completed	Score Buildings/ Trailers/ OSF's
1	EE	EE	2009			National Renewable Energy Laboratory - Cole Blvd	Golden Field Office	14	3-6-May-11		
						National Wind Technology Center	Golden Field Office	50			
						Natl. Renewable Energy Lab.-South Table Mountain	Golden Field Office	46			
2	EM	EM	2010			Moab	EM Consolidated Business Center	34	28-Feb-11		
						Crescent Junction		19			
3	EM	EM				EMCBC	EM Consolidated Business Center	2	30-Mar-11		
4	EM	EM	2006/ 2007	Phil	Gayle	East Tennessee Technology Park	Oak Ridge Office	496	9-10-May-11		
		NE						3			
		NNSA						6			
		SC						1			
5	EM	EM				ETEC, Canoga Park, CA	EM Consolidated Business Center	28	28-Mar-11		
6	EM	EM	2006/ 2008			Office of River Protection	Richland Operations Office	262	11-14-Apr-11		
7	EM	EM	2006/ 2007			Paducah Gaseous	EM Consolidated Business Center	559	7-Mar-11		
						Uranium Disposition Services(UDS)-Paducah		32			
8	EM	EM	2006/ 2007			Portsmouth Gaseous	EM Consolidated Business Center	86	21-Feb-11		
						Uranium Disposition Services(UDS)-Portsmouth		15			
9	EM	EM	2006/ 2008			Richland Operations Office	Richland Operations Office	828	11-14-Arp-11		
10	EM	EM	2005/ 2007/ 2009			Savannah River Site	Savannah River Site	1656	23-Mar-11		
		NNSA						55			
11	EM	EM	2006	Phil	Mark	Waste Isolation Pilot Plant	Carlsbad Field Office	88	5-6-Apr-11		

FY 2011 FIMS Data Validation Schedule

Key: OECM Assist Visits | Completed | Not Complete

#	LPSO	PRGM	OECM QA Visit	OECM Rep	EES Rep	Site	Field Office	Assets	Date Scheduled	Date Completed	Score Buildings/ Trailers/ OSF's
12	EM	EM				West Valley	EM Consolidated Business Center	1	30-Mar-11		
13	FE	FE	2009			Albany Research Center	National Energy Technology Laboratory	64	27-28-Apr-11		
14	FE	FE	2008			Morgantown Office	National Energy Technology Laboratory	119	5-7-Apr-11		
15	FE	FE	2008			Pittsburgh Office	National Energy Technology Laboratory	76			
16	FE	FE	2009/ 2010			Naval Pet. Reserve No 3 Rocky Mountain Oilfield Testing Center Casper, WY	Naval Petroleum Reserves	39	30-Jun-11		
17	FE	FE	2007/ 2008	Gary	Mark	Bayou Choctaw Facility	Strategic Petroleum Reserves	49	17-19-May-11		
						Big Hill Facility	Strategic Petroleum Reserves	56			
						Bryan Mound Facility	Strategic Petroleum Reserves	75			
						New Orleans Facility	Strategic Petroleum Reserves	6			
						St. James Facility	Strategic Petroleum Reserves	33			
						West Hackberry Facility	Strategic Petroleum Reserves	47			
						FE Total		266			
18	HSS	NNSA	2009	Gary	Mark	National Training Center - Albuquerque, NM	NNSA Service Center	44	6-May-11		
19	LM	LM	2008			Fernald, OH, Site	Legacy Management	5	22-Jun-11		
						Grand Junction, CO, Disposal/Processing Site	Legacy Management	5			
						Grand Junction, CO, Site	Legacy Management	7			
						Monticello, UT, Disposal and Processing Sites	Legacy Management	1			
						Pinellas County, FL, Site	Legacy Management	3			
						Piqua, OH, Decommissioned Reactor	Legacy Management	2			
						Rifle, CO, Disposal/Processing Site	Grand Junction	1			
						Rocky Flats, CO, Site	Legacy Management	2			
						Tuba City, AZ, Disposal Site	Legacy Management	4			
						Weldon Spring, MO, Site	Legacy Management	3			
20	NE	NE	2007	Cindy	Gayle	Idaho National Lab-Idaho Falls -REC	Idaho Operations Office	75	18-19-May-11		
		NE				Idaho National Lab-Scoville		536			
		EM				Idaho National Lab-Idaho Falls R E C		7			
		EM				Idaho National Lab-Scoville		336			
		EM				Fort St. Vrain		2			
						TOTAL INL		956			
21	NE	NE	2007/ 2008/ 2009			Paducah - USEC	Oak Ridge Office	213	24-Mar-11		
22	NE	NE	2007/ 2008/ 2009			Portsmouth USEC	Oak Ridge Office	191	24-Mar-11		

FY 2011 FIMS Data Validation Schedule

Key: OECM Assist Visits | Completed | Not Complete

#	LPSO	PRGM	OECM QA Visit	OECM Rep	EES Rep	Site	Field Office	Assets	Date Scheduled	Date Completed	Score Buildings/ Trailers/ OSF's
23	NNSA	NNSA	2007/ 2010	Gary	Mark	AL Complex	NNSA Service Center	28	3-4-May-11		
						Albuquerque	Nevada Site Office	1			
24	NNSA	NNSA				BN - Livermore Operations, Pleasanton, CA	Nevada Site Office	1	17-Apr-11		
25	NNSA	NNSA	2008			Kansas City Plant	Kansas City Site Office	59	16-May-11		
26	NNSA	NNSA	2010	Gary	Mark	Kirtland - Albuquerque	Kansas City Site Office	38	5-May-11		
27	NNSA	NNSA	2007/ 2010			Las Vegas	Nevada Site Office	104	19-20-Apr-11		
		NNSA				Nevada National Security Site		1131			
		NNSA				Santa Barbara		10			
		EM				Nevada National Security Site		3			
28	NNSA	NNSA	2007			Lawrence Livermore Lab Site 300	Lawrence Livermore Nat'l Lab Site Office	207	17-Apr-11		
						Lawrence Livermore National Lab	Lawrence Livermore Nat'l Lab Site Office	420			
		EM				Lawrence Livermore Lab Site 300	Livermore Site Office	9			
		EM				Lawrence Livermore National Laboratory	Livermore Site Office	34			
		SC				Lawrence Livermore National Laboratory	Livermore Site Office	19			
TOTAL LLNL								689			
29	NNSA	NNSA	2007/ 2009/ 2010	Ivan	Gayle	Los Alamos National Laboratory, Santa Fe, NM	Los Alamos National Lab Site Office	2050	28-Feb-11		
		SC						1			
		NNSA				Los Alamos	Nevada Site Office	1			
30	NNSA	NNSA	2009	Gary	Mark	Office of Secure Transportation- Albuquerque, NM	Office of Secure Transportation	98	2-3-May-11		
31	NNSA	NNSA	2007			Pantex Site Office	Pantex Site Office	711	27-Apr-11		
		EM						2			
32	NNSA	NNSA	2007			SNL - California	Sandia Site Office	113	16-May-11		
		NNSA				SNL - Hawaii		111			
		NNSA				SNL - Nevada		181			
		NNSA				SNL - New Mexico		1079			
		EE				SNL - New Mexico		3			
		SC				SNL - California		2			
		SC				SNL - New Mexico		5			
TOTAL SNL								1494			

FY 2011 FIMS Data Validation Schedule

Key: ☐ OECM Assist Visits ☐ Completed ☐ Not Complete

#	LPSO	PRGM	OECM QA Visit	OECM Rep	EES Rep	Site	Field Office	Assets	Date Scheduled	Date Completed	Score Buildings/ Trailers/ OSF's
33	NNSA	NNSA	2007	Phil	Gayle	The Central Training Facility	Y-12 Site Office	21	11-12-May-11		
						Y-12 Site Office		621			
		EM				Y-12 Site Office		40			
		SC				Y-12 Site Office		18			
		NE				Y-12 Site Office		1			
34	NR	NR				Bettis - Idaho Falls, Idaho	Naval Reactors Laboratory Field Office	91	Conducting 100% review of real property date. Next FIMS data validation will be in FY 2012.		
35	NR	NR				Bettis - Pittsburgh, PA	Naval Reactors Laboratory Field Office	134			
36	NR	NR				Knolls - Kesselring, NY	Naval Reactors Laboratory Field Office	217			
37	NR	NR				Knolls - Schenectady, NY	Naval Reactors Laboratory Field Office	183			
38	SC			Adam	Mark	Ames Lab, Ames, IA	Chicago Office	14	3-4-May-11		
39	SC	SC	2008			Argonne Nat'l Lab-Site D	Chicago Office	213	11-12-May-11		
		HSS						1			
40	SC	SC	2009			Brookhaven National Laboratory	Chicago Office	481	28-29-Jun-11		
		EM				Brookhaven National Laboratory		32			
41	SC	SC	2009			Fermi Nat'l Accelerator	Chicago Office	469	25-26-May-11		
42	SC	SC	2010			Lawrence Berkeley Laboratory	Chicago Office	510	21-22-Jun-11		
43	SC	SC				Notre Dame Radiation Lab	Chicago Office	1	28-29-Mar-11		
44	SC	SC	2007			Oak Ridge Institute for Science and Education	Oak Ridge Office	20	18-May-11		
45	SC	SC	2008/ 2009			Oak Ridge National Laboratory (X-10)	Oak Ridge Office	628	19-Apr-11		
		EM						285			
		NE						1			
46	SC	SC	2008			Oak Ridge Office, Town Site	Oak Ridge Office	197	23-Mar-11		
47	SC	SC				Office of Scientific and Technical Information	Oak Ridge Office	6	31-May-11		
48	SC	SC	2010			PPPL-Forestall Research. Ctr	Chicago Office	61	24-25-May-11		
49	SC	SC	2007			Pacific Northwest National Lab, Richland, WA	Oak Ridge Office	40	29-30-Mar-11		
		EM						33			
50	SC	SC	2008			Stanford Linear Accelerator Center	Chicago Office	271	6-7-Apr-11		
51	SC	SC	2009			Thomas Jefferson National Accelerator Facility	Oak Ridge Office	107	26-27-Apr-11		

Appendix B
Source Documentation Work Sheet

1. **To be completed one week prior to the FIMS data validation and provided to each of the validation team members.**

2. **In general, source documentation is authoritative data the FIMS administrator would use to enter or update data in FIMS. Source data must have an owner, be managed, dated, and updated at appropriate intervals.**

3. **Source data is expected to be updated annually for the following data elements: Usage Code, Status, Outgrant Indicator, Excess Indicator, Estimated Disposition Year, Using Organization, Utilization, RPV, Deferred Maintenance, Mission Dependency, Annual Operating Costs, Annual Actual Maintenance, Sustainability - Assessment Status, Sustainability - Guiding Principle Points-% Achieved EB, Sustainability - Guiding Principle Points-% Achieved NC, Cool Roof Not Economically Feasible, Cool Roof - Planned Complete Cool Roof Date, Cool Roof – Photovoltaic Area (GSF), Cool Roof – Reflective Area (GSF), Cool Roof – Total Roof Projected Area (GSF), Cool Roof – Vegetative Area (GSF), and Total No of Occupants. Source data for Bridge Safety Inspection is expected to be updated with the same frequency as the required inspection. The remainder of the data elements should be updated as appropriate or when data changes**.

4. **If there is no historic source documentation for a particular data element, and it can't be generated elsewhere, as a last resort, it is acceptable to develop a table from data currently in FIMS for that particular data element, have the Site's Subject Matter Expert (SME) review the data, make needed corrections, and sign and date the table indicating that he/she certifies the data is accurate. The table can only contain one data element and must be certified by only the SME indicating they have personally reviewed and certified the data as correct. This procedure can not be used for the following FRPC data elements: Size, Utilization, Replacement Plant Value, Deferred Maintenance, Annual Operating Costs, Annual Actual Maintenance, Excess Indicator, Sustainability data, Cool Roof data, and Bridge Safety Inspection.**

The Data Elements listed on this worksheet are in the same order as on the Validation Reporting Form

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
1. Owned/Ingrant Indicator **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Dated list of assets validated by the Site Manager/Real Estate. **Source used:** **Source date:**
2. Usage Code **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Dated list of assets validated by the Site Manager or appropriate office managing real property familiar with FIMS usage codes. **Source used:** **Source date:**

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
3. Property Type **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		As-builts, property documentation records, dated list of assets validated by Engineering or appropriate office managing real property. **Source used:** **Source date:**
4. Status **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Dated list of assets validated by Site Manager or appropriate office managing real property. **Source used:** **Source date:**
5. Size (GSF or Primary Quantity) Secondary Quantity (OSF only) Buildings and Trailers. Gross Sqft. For OSF's Validate primary quantity and secondary quantity if applicable. **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		As-built drawings, property documentation records, or dated list of assets with GSF validated by Engineering or appropriate office managing real property. **For OSF's documentation from sites subject matter expert (SME) (i.e. if as builds were not available for an underground tank a memo from the tank farm manager stating the size of the tank could be used as source data).** **Source used:** **Source date:**
6. Utilization **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings and Trailers. **Don't validate OSF's**		Site generated Utilization Report, must be approved by Site Manager or appropriate office. **Source used:** **Source date:**

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
7. Replacement Plant Value (RPV) **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's	Must have rational for contractor generated RPV's.	For buildings and trailers RS Mean's w/FIMS models, Cost Works, or other documented model that provides a true replacement value. **Do not use Current Plant Value (CPV) for buildings and trailers. For OSF's provide cost estimate. Could be a rough estimate from sites SME. CPV's for are acceptable for OSF's.** **Source used:** **Source date:**
8. Deferred Maintenance (DM) **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		CAIS reports. Other documented methods that includes a physical inspection of the building. Provide evidence the physical inspection has been performed within the last five years. **Source used:** **Source date:**
9. Annual Actual Maintenance (AM) **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs	Captured at asset level? Yes: ___ No: ___	Financial report from sites financial office listing total annual maintenance for each asset. Annual Maintenance costs include burdened direct and indirect costs. If Site allocates maintenance costs provide allocation procedures. **Source used:** **Source date:**
10. Mission Dependency **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		List of assets validated by Site Manager or HQ Program Office. **Source used:** **Source date:**
11. Historic Designation **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Documented report from SHPO or dated list of assets validated by office coordinating with SHPO. **Source used:** **Source date:**
12. Using Organization **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		Dated list of assets validated by Site Manager or cognizant office. **Source used:** **Source date:**

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
13. Main Location **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		Letterhead with mailing address. Memo from Admin/Mailroom documenting address and/or zip code. Documentation from Post Office. **Source used:** **Source date:**
14. Location City **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Memo from Admin, Mailroom, or Post Office. Website: www.zip-codes.com **Source used:** **Source date:**
15. Location State **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		Memo from Admin, Mailroom, or Post Office. Website: www.zip-codes.com **Source used:** **Source date:**
16. Location County **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		Memo from Admin, Mailroom, or Post Office. Website: www.zip-codes.com **Source used:** **Source date:**
17. Location Zip Code **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Memo from Admin, Mailroom, or Post Office. Website: www.usps.com if used must use validated Main Location address. **Source used:** **Source date:**
18. Location Congressional District **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Memo from Admin, Mailroom, or Post Office. Website: www.zip-codes.com (If updated) or http://www.house.gov/ (see top left corner) **Source used:** **Source date:**
19. Restrictions **Update: As appropriate**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSF's		Dated list of assets validated by Environmental/Real Estate or other office that tracks restrictions on real property. **Source used:** **Source date:**

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
20. Excess Indicator **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Email from OECM indicating the Excess Indicator can be changed to "Yes"
21. Estimated Disposition Year **Update: Annually**	Name: Phone: Email: Position: Company	Buildings, Trailers and OSFs		Documentation from the Site's disposition planner or other official documentation from the site that provides disposition plans.

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
22a. Sustainability – Assessment Status **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings and Trailers		Documentation from the Site's Sustainability or LEED coordinator indicating the assessment status as one of the following: Existing Building Not Assessed, Not applicable, Not worth assessing or Building Assessed. . Documentation required: Existing Building Not Assessed List of buildings indicating where appropriate planned assessment date with **subject matter expert** signature and dated within one year. **Not Applicable** List of buildings indicating Not Applicable with **subject matter expert** signature and dated within one year. **Building must be 5,000 gsf or less or Estimated Disposition Year must be less than 2016.** **Not Worth Assessing** Dated field inspection sheet(s) or meeting notes endorsed by the **subject matter expert** identifying why the asset does not warrant a full assessment **Building Assessed** - If LEED certified - Dated letter or certificate from **USGBC or GBCI** listing certification level and name of building that matches FIMS property name - If Guiding Principles utilized - Existing building checklist matching the criteria in the 12/01/2008 EO 13423 guidance indicating percentage of guiding principles attained, signed and dated by a **subject matter expert** If Assessed, validate either: Sustainability – Guiding Principle points-% achieved (Existing Building) or Sustainability - Guiding Principle points-% achieved (New Construction)

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
22b. Sustainability - Guiding Principle Points (GPP) - % achieved Existing Building (EB) **Update: Annually**	Same as 22a.	Buildings and Trailers		Two options for determining Guiding Principle points - % achieved. 1. Through LEED Certification and 2. Through "the site's assessment tool". In both cases documentation is obtained from the site's Sustainability or LEED coordinator and must indicate the Guiding Principle points-% achieved for Existing Buildings (EB). 1. Option 1. If Guiding Principle points - % achieved is through LEED Certification. Dated letter or certificate from **USGBC or GBCI** documenting that an existing building achieved LEED –Existing Buildings Operation & Maintenance (EBOM) Silver or greater by FY 2015.. The name of building on the certificate must match the FIMS property name. Note: This option is used to get 100% points achieved (i.e. either 100% or 0% no partial percentage points achieved for lower levels of LEED certifications). 2. Option 2. Through the site's assessment tool. Documentation required: checklist/report from "site's assessment tool", obtained from the Site's Sustainability or LEED coordinator and must indicate the Guiding Principle points-% achieved for Existing Building.

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
22c. Sustainability - Guiding Principle Points (GPP) - % achieved New Construction (NC) **Update: Annually**	Same as 22a.	Buildings and Trailers		Two options for determining Guiding Principle points - % achieved. 1. Through LEED Certification and 2. Through "the site's assessment tool". In both cases documentation is obtained from the site's Sustainability or LEED coordinator and must indicate the Guiding Principle points-% achieved for NC. 1. Option 1. If Guiding Principle points - % achieved is through LEED NC Certification. Dated letter or certificate from **USGBC or GBCI** documenting the new construction received at a minimum LEED-NC certifications meeting the following criteria regarding critical decision (CD) of the project: a. Buildings that were CD-2 or higher on or before October 1, 2008, and achieved any level of LEED certification by FY 2015 gets 100% guiding principle points achieved. b. New construction buildings that were CD-1 or lower on or before October 1, 2008, that achieved LEED –NC Gold certification by FY 2015 gets 100% guiding principle points achieved. Documentation required from the site's Sustainability or LEED coordinator: 1. Dated letter or certificate from **USGBC or GBCI** documenting the LEED certification of the building, and 2. Documentation of the date when the project reached CD-1 and CD-2. The name of building on the certificate must match the FIMS property name. Note: This option is used to get 100% points achieved (i.e. either 100% or 0% no partial percentage points achieved for lower levels of LEED certifications). 2. Option 2. Through the site's assessment tool. Documentation required: checklist/report from "site's assessment tool", obtained from the Site's Sustainability or LEED coordinator and must indicate the Guiding Principle points-% achieved for new construction.

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
23. Outgrant Indicator **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs		Documentation from Real Estate
24. Total No. of Occupants **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings and Trailers		Documentation from annual utilization survey, building manager or other site SME who is responsible to track number of occupants working in each building
25. Cool Roof Data **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings and Trailers		Documentation from the site's Cool Roof coordinator or Cool Roof SME. Acceptable source data would be a table that lists each Property Id for the site and provides data for each of the six Cool Roof Data Elements: **Cool Roof Not Economically Feasible (must have life cycle cost analysis available to document)** **Cool Roof – Planned Complete Cool Roof Date** **Cool Roof – Photovoltaic Area (GSF)** **Cool Roof – Reflective Area (GSF)** **Cool Roof – Total Roof Projected Area (GSF)** **Cool Roof – Vegetative Area (GSF)**
26. Annual Operating Cost **(Site Level)** **Update: Annually**	Name: Phone: Email: Position: Company:	Buildings, Trailers and OSFs	Did site input any asset level operating costs? Yes: ___ No: ___	Financial report from the site financial office. If site allocates costs to the asset level provide procedures. **Source used:** **Source date:**

FRPC Data Element	Source Document Owner	Validation Required For	Process For Obtaining Source Data	Typical Acceptable Source
27. Bridge - Safety Inspection Report **Update: Same Frequency as the Required Inspection**	Name: Phone: Email: Position: Company:	Publicly accessible vehicular and publicly accessible and controlled train bridges (Usage Codes: 1468, 1469 and 1768	Bridge Program Manager provides documentation	The bridge safety inspection report. Check the following: 1. Date of inspection. 2. Inspection date within: a. 1 yr – for controlled or publically accessible train bridges (one inspection per calendar year, with not more than 540 days between successive inspections). b. 2 years – for publically accessible vehicular bridges (not more than 24 months between inspections). 3. Be signed by a certified bridge inspector/team lead (See OECM Memo dated Sep 14, 2009, Requirements for Bridge Inspections). 4. Safety Inspection supports operational (FIMS) status of bridge.